Collection Management Services (CMS)
Annual Report
Submitted by Mary S. Laskowski, Head
July 1st, 2012 – July 1st 2013

I   Unit Narrative

Collection Management Services (CMS) is responsible for a variety of services within the University Library, including electronic course reserves (e-reserves), print reserve processing for the Undergraduate Library and Central Circulation and media reserve processing for the Undergraduate Library, course and research related media acquisitions, media cataloging, gift materials processing, and remote storage at the Oak Street Library Facility.

A growing part of the unit responsibilities is to provide services relating to large-scale collection management, whether they be transfers, retrospective cataloging projects, physical shifts of collections, or some combination of all three. Almost all such projects have multiple benefits in terms of access for patrons and inventory control, and in some instances quite unique hidden collections have been discovered and made available.

One of the major accomplishments, as well as major challenges and significant changes to unit operations, for CMS this year was the integration of the Oak Street Library Facility. Administrative responsibility and reporting lines for Oak Street high-density storage became part of CMS beginning July 1st, 2012. There were a number of factors which made this transition desirable, including the efficiencies of combining the major sending and receiving units of material transfers under one umbrella, staff retirements and vacancies which left a void in expertise, the ability to cross-train and share staff as needed to improve access to collections, and the natural overlap with the project work and project management skills demonstrated by the former Information Processing and Management unit.

In FY13 Oak Street underwent a workflow evaluation in hope of uncovering new efficiencies and ergonomic improvements for staff. As part of this evaluation Chris Brennan, a Generational Fifth Applications representative, conducted an onsite training and evaluation session. It was during this visit that many features of the facility's inventory software (LAS) were implemented allowing for greater positive inventory control and overall efficiency in managing the unit holdings.

Maximizing the use of LAS features has allowed Oak Street staff to perform much needed collection maintenance including relocating items and trays for better preservation, consolidating partial trays, identifying underutilized shelf space, and cleaning up report data to better reflect actual holdings. As the Oak Street facility draws ever closer to capacity, the staff places greater emphasis on balancing the

ingestion of material with proper collection management to insure the facility is both loaded efficiently and maintaining patron access to resources. While LAS provides a number of report options, it doesn't yet allow us to track the number of moves staff have made within the collection. We are hoping additional programming in the coming year will allow us to track this new dimension of our regular workflow.

Oak Street has undergone planning and modifications to better protect workers against the physical strain of moving large quantities of material on a daily basis. Ergonomic improvements have been identified and implemented which include reducing the number of times a tray must be lifted between before it is shelved. Plans have also been developed to outfit Oak Street with improved equipment that allows workers to slide heavy loads rather than lift multiple times. These plans will be implemented in the coming fiscal year.

The facility has also received upgrades to the vaults. Previously, vaults one and two used a mechanical guidance system that required physical contact between the shelving units and the lift. Vault three only uses a wire guidance system which meant that that only one lift could operate in the third vault and that both needed the extra equipment required to operate in the first two phases. In spring of 2013, the wire guide system was expanded to vaults one and two. The mechanical guidance systems were removed from both lifts, increasing maneuverability during operation and eliminating the ongoing maintenance requirements of the systems. The older lift was modified with the wire guidance system and staff members are now able to use both lifts throughout the facility. The wire guidance system also allows the lifts to be "backed in" to an aisle so that previously inaccessible shelving locations are now available. The library also invested in training to certify three additional staff members as lift operator trainers. Previously, only one staff member was certified to train new employees as list operators.

The other major challenge and corresponding accomplishment for CMS this year was implementing a new e-reserve system (Ares by Atlas Systems) to replace the home-grown system which had been in place since the inception of the e-reserve service over a decade ago. Patrons began using Ares beginning with the summer 2013 term, but a great deal of time and effort was expended throughout the previous year to make that possible. The new system provides more flexibility for instructors to manage courses, including adding and removing readings more easily and adding tags to specific items, such as the week or date the reading is assigned or specific subject(s) covered. The new system also provides increased transparency of the process, including real-time status updates and progress of any copyright work required by Library staff, keeping faculty and instructors more up to date and reducing the chance for unpleasant surprises regarding the availability of materials. In addition, the new system provides a more streamlined process for reusing materials from semester to semester, so instructors will be able to easily see all items previously on reserve and choose to reuse an entire list from a past semester or pick items to reuse a-la-carte from previous courses taught. Faculty and instructors will now also be able to request audio reserves directly through the new e-reserve system. Students will notice an improved experience as well. Instead of searching for their courses, they will simply login and be taken directly to a list of all courses in which they are enrolled. An underlying goal, of course, is to simplify the process for the staff as well, as CMS provided access through over 20,000 e-reserve links which were accessed over 300,000 times.

Changes in copyright as related to e-reserves made this year particularly challenging as well. Electronic reserve services in libraries have received increased levels of scrutiny in recent years in light of the Georgia State lawsuit (Educause summary at http://net.educause.edu/ir/library/pdf/EPO1204.pdf). As of summer 2012 the University Library revised our internal practices regarding fair use assessment of materials for inclusion in our e-reserve service. While those changes were needed, and put us into better compliance with the Code of Best Practices in Fair Use for Academic and Research Libraries http://www.arl.org/focus-areas/copyright-ip/fair-use/code-of-best-practices, doing so has greatly increased the workload for researching, requesting and tracking permissions for copyrighted materials.

To give a quick point of comparison, for Fall 2010/Spring 2011 staff flagged 131 and 176 items needing in-depth copyright review respectively, and for Fall 2012/Spring 2013 those numbers increased to 2,438 and 2,976. Each of those flagged items needs to then be reviewed as to the specific content, availability in existing licensed packages or public domain, the rightsholder researched if it is determined that we need to seek permissions, and then the permission process tracked appropriately. The process often involves multiple communications with faculty and instructors on campus as well as external communications with authors, publishers, and copyright vendors, which are often both time-consuming and complicated to track as necessary.

Partly in response to this increased copyright workload and expenditures, CMS began a pilot project with SIPX (formerly the Stanford Intellectual Property Exchange) to modify copyright workflows and investigate the feasibility of a "pay-per-use" method of access. Rather than a true "pay-per-use" model, the SIPX service charges the Library once for each user who accesses a particular reading, and that user then has access to that content throughout the semester. The Library continues to pay for all copyright fees associated with the e-reserve service, but in this way can leverage the relationships/agreements that SIPX has with the Copyright Clearance Center as well as individual publishers to provide timely access to copyrighted material (which exceed Library practices for fair use) at a reasonable cost. We are in the process of further investigation and hopefully a full implementation of SIPX which will allow single sign-on for users. As one of the early adopters of SIPX, part of our goal is to help shape the development of copyright services as related to e-reserves.

CMS also manages the gifts program, accepting and evaluating donations for our collection. This year more than 29,000 gift items were processed through the unit with nearly 5,400 being added to the library's collection. The remaining items were either sent for resale through Better World Books, sold at the annual library book sale, or recycled. Another ongoing responsibility of CMS is the CARLI Last Copy program. Through this program, where other libraries in the state send us withdrawn items that are believed to be the last copy held in Illinois, we have added more than 2,000 items to our catalog.

In addition to ongoing cyclical responsibilities, CMS also worked on a variety of projects this year. As noted earlier, project work has become a major focus for CMS over the last few years, and will likely continue to grow in that area. Much of the project work is funded on a temporary basis, which as a strength adds flexibility, but which makes long-term planning quite difficult. The unit oversaw the prep work required for the Shelf List to be moved from the 2nd and 3rd floor hallways to the sub-basement, including prepping the

card catalog cabinets and swapping drawers into the correct locations. CMS also transferred items out of the main stacks for a variety of different projects, including getting the folios out of the free-standing folio cabinets around the edges of each deck of the east stacks, transferring items flagged for transfer by various subject specialists, and transferring items flagged for transfer by GSLIS students learning about collection management.

Most of the projects CMS undertakes require a depth of cataloging knowledge. In addition to transferring items from one location to another, CMS fixes problems with items and holding records and corrects errors in bib records by importing new records from OCLC or creating brand new, original records, as needed. The 26,482 "new" titles (70,917 "new" items) added CMS assisted several units, such as the Undergraduate, Library and Information Science, Business and Economics, and Classics libraries, as well as serials in the sub-basement of the main stacks, by processing backlogs or completing transfers of books or microfiche to Oak Street. This year CMS also continued working on the backlogs of foreign language materials in need of cataloging. These included various backlogs of Asian language materials, improving existing Asian MARCette (brief, mini-MARC) records, and the Slavic languages backlog. In all, more than 16,000 records were added or improved in order to provide better access to these materials that were in staff-only areas and had little-to-no catalog presence.

The largest projects undertaken by CMS this year were the foreign language backlogs (mentioned above), the Google Book Search project, the C-Collection, and the opening of SSHEL, which was a New Service (NSM) initiative. The processing of materials for the Google Book Search project came to a close at the end of this fiscal year. Originally viewed primarily as a retrieval/reshelving project, we found that in order for Google to obtain the necessary accurate metadata, this quickly became a large-scale retrospective cataloging project, and the Google project is the closest thing we've had to an inventory of our main stacks. It was necessary to train academic hourly staff to do a higher level of cataloging work than we had done in the past, and more complicated work than is done by most of our permanent staff due to the poor condition of the catalog records for these low-use items hidden in the main stacks. We successfully prioritized sending materials that were slated for Oak Street so that the cataloging/processing work served both purposes (Google digitization and transfers) so that we got the biggest bang for our buck; more than 55,000 items were processed for Oak Street this fiscal year.

A similar project was the C-Collection, which is a collection of college publications (e.g., catalogs, bulletins, etc.). Working on the C-Collection also had several benefits—clearing much-needed space in the main stacks, cataloging an un-cataloged collection, digitizing pre-1923 items, and moving the materials to a climate controlled space (Oak Street) for better preservation of the aging collection. Work on the domestic schools is still underway, which will be followed by the international institutions. During this fiscal year 3 FTE academic hourly staff worked on the project, 1 FTE dedicated to original cataloging, with 2 staff members helping with original cataloging as their other work allowed (~1 FTE). During the year, nearly 37,000 items were removed from the stacks and processed. Of these 37,000, more than 16,000 needed to be passed on to a second person because they required original cataloging.

Assisting with the opening of the Social Sciences, Health, and Education Library (SSHEL), which was an NSM initiative, was the largest project CMS undertook this year. Many of the components were straight-forward transfers from one location to another, but it did require an organized, coordinated effort due to the number of items moving in so many different directions. In addition to the transfers, CMS also cataloged items that were in backlogs, which required importing records and doing original cataloging, as well as performing all of the physical marking and prep work required for an item to be housed in a new location and the preservation and stabilization work required for the various collections. For example, much of the curriculum collection is spiral bound, which requires that each piece get wrapped with boards to ensure the spirals do not catch on each other while in the storage trays at Oak Street. In all, CMS processed more than 116,000 items for SSHEL.

Another major way in which CMS supports the campus curriculum, in addition to Library strategic priorities, is to acquire and provide access to media, both physical items and streaming content. Most of the media acquired through Mary Laskowski, Head of CMS, is in direct support of faculty classroom needs, or else part of a digital media initiative to improve access to media material both for on campus students as well as distance education. This past year CMS purchased 360 DVDs, and 43 streaming media titles. We are emphasizing the streaming media collection as much as possible, both to promote effective licensing models with distributors while there is still the opportunity to do so, and to provide the kind of instant access to content that students have come to expect.

CMS goals for FY13 were as follows:

- Incorporate the Oak Street Library Facility into CMS, with an eye towards improving the effectiveness and efficiency of that facility. Part of the success of this goal will depend on hiring a new AP, updating the GFA inventory software, and cross-training other CMS staff to be able to provide a larger pool of people able to access the large collection housed at Oak.
- Complete implementation of the SSHEL merger, moving materials to Oak, into the new SSHEL, and into and out of stacks as necessary.
- Continue and hopefully successfully complete the migration of e-reserves to the new Ares platform.
- Continue planning and implementation of the staff move, including clearing collections in Room 1 and other spaces as necessary for remodeling.

As already noted earlier in the report, the first three goals were accomplished and progress made on the fourth. Unfortunately, though there is currently a proposal in place to consolidate all of the CMS staff at the Oak Street Library Facility, which would take advantage of underutilized space on the 3rd floor of Oak Street, free up much needed space in the Main Library, and make effective management and improvement of services within CMS much simpler, funding has not yet been identified to make that possible. Moving forward with this would also make it possible for us to implement the proposed Reading Room for public access at Oak Street, as well as an integrated scanning operation for ILL, with minimal increase in staffing. Should action on that proposal not prove possible, further planning and implementation of a move within the Main Library will need to take place in FY14.

CMS goals for upcoming years are often difficult to determine as so much of the work performed by the unit is driven by Library priorities related to shifting construction deadlines and the outcome(s) of New Service Model Initiative Implementation teams. There are a few goals for the coming year which should however remain a priority regardless of other needs.

CMS goals for FY14:

- Implement plans to improve the workspaces at the Oak Street Library Facility, and reassess workflows and software needs.
- Begin the process of print deduplication of collections in conjunction with the CIC Shared Print Repository.
- Begin collaborative cataloging for foreign language materials.
- Implement plan to rehouse materials at Oak Street for better preservation and long-term storage needs.
- Continue improvement of copyright practices and e-reserve services through full implementation of the new software and vendor relationships.
- Continue planning and implementation of the staff move, including clearing collections in Room 1 and other spaces as necessary for remodeling.
- Open a public Reading Room at the Oak Street Library Facility.
- Begin a scanning operation at the Oak Street Library Facility in support of ILL in order to eliminate unnecessary material handling.

II   Statistical Profile

1.   Facilities

CMS is not open to the public, though hopefully this coming year a Reading Room at the Oak Street Library Facility will begin public hours.

2.   Personnel

Mary Laskowski (Faculty) (100%)
Andrew Cougill (AP) (100%), began November 1st, 2012
Jenny Maddox Abbott (AP) (100%)

Mickie Bailot (Senior Library Specialist) (100%), began August 6th, 2012
Jose Bermudez (Library Specialist) (100%)
Rebecca Clayburn-Wright (Senior Library Specialist) (100%)
Melanie Combs (Senior Library Specialist) (100%)
B.A. Davis-Howe (Senior Library Specialist) (100%)
Martha Degutis (Senior Library Specialist) (100%)
LaVonda Dorsey (Library Clerk) (100%)

Kara Hagen (Library Specialist) (75%), began October 1st, 2012
Nick Hagen (Library Specialist) (100%)
Renee Hough (Senior Library Specialist) (100%)
Debbie Jones (Library Specialist) (100%)
Hyon Joo Kim (Senior Library Specialist) (100%)
Scott Mann (Senior Library Specialist) (100%)
Ithamar Ritz (Library Specialist) (100%), began August 2nd, 2012
Ginger Schutz (Library Specialist) (100%)
Ben Stone (Library Specialist) (100%)
Lisa Wells (Senior Library Specialist) (100%)
Gil Witte (Library Operations Associate) (100%)

The wage budgets for CMS and Content Access Management have been combined the last couple of years to provide greater flexibility in operations, as most of the hourly employees share similar skill sets and can then more easily shift from one project to the next. The combined state wages for CMS and CAM was $223,029. In addition, much of the project work was funded through the Library/IT fee and unrestricted gift funds, and those combined funds available to CMS and CAM this year was $196,044. In addition, a portion of the funding for the Google Project was allocated to CMS and CAM in the amount of $315,200. These funds were used to hire both student employees and academic hourly employees, depending on the project tasks required. The combined weekly average of hourly employees for both units was 21 FTE, spread across both units and multiple projects as needed.

3. **User Services**

Desk Tracker Statistics from Sweeps Week

Email: 4
- 1   (25%)   Email < 5 minutes
- 2   (50%)   Email 5-15 minutes
- 1   (25%)   Email 15-30 minutes

IM/Chat: 1

In Person: 0

OTRS: 40
- 14   (35%)   OTRS Information/Directional
- 12   (30%)   OTRS Processing 5-15 minutes
- 5   (13%)   OTRS Processing 15-30 minutes
- 5   (13%)   OTRS Processing 30-60 minutes
- 2   (5%)   OTRS Processing 1-2 hours
- 1   (3%)   OTRS Processing 2-3 hours
- 1   (3%)   OTRS Processing >3 hours

Phone: 9
- 6   (67%)   Phone <5 Minutes
- 3   (33%)   Phone 5-15 Minutes

4. **Other statistics (optional)**

Cataloging
- Bib Creation: 18,467

- Bib Modification: 36,040
- Holding Action: 172,675
- Item Creation: 58,326
- Item Modification: 512,026
- Total: 797,534

Media Acquisitions
- DVD: 360 -- $ $30,531.41
- Streaming: 43 -- $13,591.10
- Streaming w/DVD: 2 -- $965.00
- Other: 11 -- $617.29
- Total: 416 -- $45,704.80

Reserves
- E-reserves accessed: 335,289
- E-reserve links: 20,335
- Physical reserves: 3,941
- Total reserves: 24,276

Streaming Media
- Video owned: 1,240
- Video accessed: 12,637
- Audio accessed: 30,969
- Total accessed: 43,606

Oak Street High Density Storage
- Accessioned: 251,997
- De-Accessioned: 2,994
- Re-Acessioned: 1,048
- Retrievals: 39,948
- Refiles: 37,797
- Tours: 17 tours for 146 guests

III   Appendices (optional)

Projects for CMS—Main Library

Project	# of Items Processed
SSHEL	**116,060**
Transfers from ESSL & AHS into SSHEL	54,131
Transfers from AHS into the Main Stacks	9,956
Transfers from ESSL into the Main Stacks	14,565
Transfers from AHS to Oak Street	1,142
Transfers from ESSL to Oak Street	4,665
Transfers of ESSL materials in Main Stacks to Oak Street	8,460
Transfers of AHS materials in Main Stacks to Oak Street	4,312
Cataloging and transfer of AHS backlog	536
Transfers of S-Collection (Ed Storage) to SSHEL Oak Street	14,564
Cataloging of ESSL curriculum backlog	1,044
Transfers of ESSL curriculum to Oak Street	2,685
Google Project transfers to Oak Street	**55,960**
C-Collection	**36,764**
C-Collection cataloged and transferred to Oak Street	33,887
C-Collection Problems (items needing to be passed on to 2nd person for original cataloging before being transferred to Oak Street)	16,612
C-Collection Withdrawn (duplicates not added to the catalog)	2,877
Main Stacks to Oak Street Transfers	**10,039**
Items flagged for Oak Street by subject specialists (yellow streamers)	1,350
Items flagged for Oak Street by GSLIS classes (yellow streamers)	3,384
Transfers from Stacks Out-of-Sequence (Deck 8) to Oak Street	924
Transfers of Folios from Stacks to Oak Street	311
Transfers of Architecture and Art materials in Main Stacks to Oak Street	703
Cataloging and transfer of Sub-Basement serials backlog	3,367
Foreign Language Backlogs	**16,875**
Asian MARCettes	8,919
Asian Backlog	4,585
Slavic Backlog	3,371
Retrospective original cataloging projects and problems	**1,301**
Cataloging LIS Backlog	**965**
Transfers from Classics to Oak Street	**517**
Cataloging backlog of BEL Microfiche	**217**
Transfers from Undergraduate Library to Oak Street	**159**
Last Copy Program	**2,092**
Gift Program	**29,325**
Added to collection	5,396
Sent to Book Sale or Better World Books	14,092
Duplicates Withdrawn from the collection	**9,608**
Total Items Processed by the Main Library half of CMS	**279,882**

Items transferred to Oak Street Library Facility by sending location

	Jul-12	Aug-12	Sep-12	Oct-12	Nov-12	Dec-12	Jan-13	Feb-13	Mar-13	Apr-13	May-13	Jun-13	Library Totals
ACES		48	25	106			21	10	17	23	3	2	255
Acquisitions	862	96	168	500	892	910	459	612	177	225	176	200	5277
Applied Health Sciences (Life)	12	68		26	39	51	2			20	=	=	218
Architecture & Art	111	94	19	81	5	25	66	18	7	16	67	54	563
Asian	2		1	33	127	1	11	14			=	1	190
Biology											1	=	1
Business & Economics							5				=	=	5
Cataloging	152	12	34	258	45	201	22	509	8	8	47	12	1308
Chemistry	628	587		4			51	1			=	=	1271
Classics		344	142	96	143	37	65	131	66	21	25	281	1351
Communications			4	2	9		50	71	2	29	92	103	362
Content Access management				7				1	1		=	=	9
Conservation	59	3	1	41	32	39	13		13	24	37	168	430
City Planning											=	=	0
Gov. Docs		3	1	12	8	28	39	138	70	16	20	26	361
Education	683	13	1805	1369	882	1873	33	30			=	=	6688
English				10							=	=	10
Engineering	1161	432	784	1713	693	5	12	1219		1941	597	758	9315
Geology											=	=	0
Illinois Historical Survey											=	=	0
History, Philosophy, Newspaper	561	455	208	92	95	81	135	276	282	51	124	282	2642
Information Proc. & Manag.	33312	2478	8637	17120	17504	14242	7639	13659	12897	12370	16670	12079	168607
Industrial and Labor Relations											=	=	0
International and Area Studies	2		4	2	28		1	58		187	16	8	306
Law	8	101	46	670	494	268	719	295	638	180	474	348	4241
Literatures and Languages			23	97	1		50	24		116	28	62	401
Library and Information											=	=	0

Science

													Total
Maps & Geo			78	43	72			81	108	90	127	26		625
Modern Languages											=	=		0
Math					4						=	=		4
Music	438	522	436	730	427	747	344	313	971	386	620	496		6430
							52				127	171		
Natural History	96	153	142	197	406	305	524	659	531	1	3	963		6960
Physics & Astronomy											=	=		0
Rare Book		92	75	43	5	21	54	51	26	102	23	8		500
Reference				7		4	8	7		9	3	=		38
Social Sciences, Health, Education						15		23	4	797	48	24		911
Slavic & East European		1	5		1	8	2				=	=		17
			104	125	151	67	110							
Stacks	945	95	424	0	1	9	1	0	415	392	751	483		9086
University Archives	20			166	13	120	71	16	40	37	2	142		627
							15	150						
Undergrad	1	6	1	10	38	85	135	0	921	320	522	295		3854
							13							
Uni High		1		25	95	31	1	77	17	74	138	116		705
				196	163		138							
Vet Med	1		67	630	9	0	84	5		2	6	5		5779
							1144							
Totals	39054	5603	13126	25135	25277	22239	11443	22280	17211	18707	22330	16942		239347

Fiscal Year Total	239347